

YOUTH SERVICES POLICY

Title: Composition/Location/Retention of Active and Inactive Secure Care Youth Records Next Annual Review Date: 05/04/2014	Type: B. Classification, Sentencing and Service Functions Sub Type: 3. Records Number: B.3.1
	Page 1 of 12
References: La. Children's Code Article 412 and 897.1; La. R.S. 15:574.12; ACA Standards 2-CO-1E-01, 2-CO-1E-02, 2-CO-1E-03 and 2-CO-1E-04 (Administration of Correctional Agencies); 4-JCF-4C-32, 4-JCF-4C-33, 4-JCF-6F-01, JCF-6F-02, 4-JCF-6F-03, 4-JCF-6F-04 and 4-JCF-6F-07 (Performance-Based Standards for Juvenile Correctional Facilities); YS Policies B.2.1 "Assignment, Reassignment, Release and Discharge of Youth", B.2.2 "Youth Classification System and Treatment Procedures", B.3.2 "Access to and Release of Active and Inactive Youth Records"; Contracted Health Care (CHC) Contracts with YS Secure Care Facilities and CHC Policy No. C-27 "Health Records/Inactive Health Records"	
STATUS: Approved	
Approved By: Mary L. Livers, Deputy Secretary	Date of Approval: 05/04/2012

I. AUTHORITY:

Deputy Secretary of Youth Services (YS) as contained in La. R.S. 36:405. Deviation from this policy must be approved by the Deputy Secretary.

II. PURPOSE:

To establish the Deputy Secretary's policy regarding the contents and maintenance of the hard copy Master Records, Juvenile Electronic Tracking System (JETS) secure care case records, and electronic medical records, through an established uniform record format for all youth assigned to a secure care facility.

III. APPLICABILITY:

Deputy Secretary, Assistant Secretary, Undersecretary, Deputy Undersecretary, Chief of Operations, Deputy Assistant Secretary/Facilities, Central Office (CO) Director of Treatment and Rehabilitation, CO Health Services Director, Facility Directors, Treatment Directors, Social Services staff, and the contracted health care (CHP) provider are responsible for implementing and maintaining compliance with this policy.

IV. DEFINITIONS:

Assessment Summary - a composite history of a youth including: identifying information, a summary of prior social information, reason(s) for commitment, family background, academic history / vocational interests, psychological / psychiatric assessment, health and personal history, present state of functioning/impression, pertinent family information, gang affiliation and firearm information, history of abuse, history of witnessing traumatic events, history of substance abuse, and recommendations.

Children's Code Article 897.1 - specifies placement of a youth in a secure care facility until the age of twenty-one (21) years without benefit of parole, probation, suspension of imposition or execution of sentence, or modification after adjudication of a felony-grade delinquent act of first degree murder, second degree murder, aggravated rape, aggravated kidnapping or treason. For the offense of armed robbery, the youth shall be placed in a secure care facility for the length of the term imposed by the court without benefit of parole, probation, suspension of imposition or execution of sentence, or modification.

Community Based Services (CBS) - formerly known as the Division of Youth Services, CBS includes all regional offices located throughout the state.

Contracted Health Care (CHP) Provider - contracted licensed practitioners responsible for the physical and mental well-being of the secure care youth population. Services include medical, dental, and mental health services, nursing, pharmacy, personal hygiene, dietary services, health education, and environmental conditions.

Court Documents - all official documents from the court including petitions, court minutes, judgments, commitment orders and any other documents authorizing YS to accept custody, to allow reassignment, release or discharge of youth.

Electronic Records Management Application (ERMA) – an electronic medical and mental health record database utilized by CHP staff.

IIP Monthly Assessment Form - a brief overall statement regarding a youth's progress toward goal accomplishment.

Initial Intake Form - an admission summary report including: name, address, legal information, summary of criminal history, if any, brief social history, medical, dental and mental health information, educational and work history, if any, recreational interests, physical limitations, religious background, psychological evaluation, housing unit assignment and staff reports; precautions and problem areas; any gang affiliation and firearms information and recommendations.

Juvenile Electronic Tracking System (JETS) - The centralized database used to track all youth in the custody of or under the supervision of YS and to record youth case record activity.

Master Form – a printout generated from the JETS database, identifying demographics, legal, family and caseworker information.

Master Record (Hard Copy) - an 8-part letter size folder containing hard copies of legal documents, required signature pages, and other case record materials as outlined through this policy.

Mental Health Status Check List - a form indicating: appearance, stress symptoms, orientation, thought content/processes, medical screening, affect display, conversation, intellectual functioning, and a brief summary.

Quarterly Progress Report - reclassification culminates in a written report to the court(s) of jurisdiction and the applicable Regional Office, summarizing the youth's summary risk rating for violence and delinquency, progress in identified need areas, participation/progress in education, recreation, religion and medical, as well as behavior and discipline. It also identifies the youth's progress in meeting goals and objectives as specified on the Reintegration/Service Plan.

Reintegration/Service Plan (RSP) – Initial and Formal RSP – An initial RSP shall be developed within 48 hours of a youth's arrival to a Direct Admission Unit at a secure care facility. The initial RSP specifies problem need areas already identified by the initial or latest SAVRY reassessment conducted by CBS. The goals, objectives, and the methods used to attain them while the youth is in secure care shall be updated during intake, including the role of the youth and staff. Development of this plan is accomplished through review of the youth's SAVRY, the youth's record, and is a collaborative effort between the Case Manager and the youth.

The formal RSP is further developed by the assigned Case Manager within seven (7) working days of receipt of the contracted health care provider's Psychological Evaluation. The treatment needs are prioritized based upon a review of the youth's SAVRY dynamic risk factors rated High, and in some cases Moderate, the youth's record, and any additional recommendations made by the Psychological Evaluation. The formal RSP is modified throughout the youth's stay as need areas are identified, partly based on the dynamic SAVRY risk/need factors. The RSP also identifies follow-up services needed by the youth upon release to facilitate a successful transition and reintegration back into the community. The plan is coordinated with CBS and shall be used when completing the aftercare plan.

Sentence Computation Worksheet - a statement resulting from the determination of the date of maximum duration of court disposition based upon court documents and other available information.

Weekly Contact Progress Notes - a form containing notations of all case activity entered into JETS. Progress notes shall routinely be made by the youth's Case Manager about progress toward meeting identified goals, resolution of identified problems, and any other area of the youth's secure care progress.

V. POLICY:

It is the Deputy Secretary's policy that the establishment, use, and content of all hard copy Master Records and JETS database records shall be maintained in accordance with the established format outlined below. All contents of the hard copy Master Records shall be separated and easily identified. All entries in both the hard copy Master Record and the JETS database record shall be dated and signed at the time of entry.

The use and content of the medical and mental health records database (ERMA) shall be maintained in accordance with the CHP Contracts with YS Secure Care Facilities. The method of recording entries and the format of the record shall be determined by the CHP provider. All entries in the electronic record shall have a date, time and signature of the author.

VI. PROCEDURES FOR YOUTH MASTER AND JETS RECORDS:

- A. The hard copy Master Record and the JETS database record for each youth shall be initiated by the Direct Admission Unit at the secure care facility upon a youth's entry.
- B. When a youth is transferred to a secure care facility from non-secure placement, the Receipt of Regional Office Documentation Form [see Attachment B.3.1 (d)] shall be completed by the Direct Admission staff. Only those documents listed on the form are required to be delivered by the Regional Office, all other documentation is available to facility staff through the JETS database. It shall be the responsibility of the facility staff to access the necessary documents through JETS for Direct Admission purposes. The Receipt of Regional Office Documentation Form shall be placed in the youth's hard copy Master Record under Clip I, with a copy provided to the transporting PPO/J.
- C. Effective June 20, 2010, each facility became responsible for maintaining the official hard copy Master Record and the JETS database record of all youth assigned. The Case Manager shall be responsible for the accuracy of information contained therein, as well as the information entered into JETS. Any previous archived record shall be merged into the hard copy Master only of the new record.
- D. Upon transfer to another secure care facility, the hard copy Master Record shall be simultaneously forwarded from the sending facility, except in emergency cases. In such emergency situations, essential information (need for authorization of suicide watch, medical diagnosis, etc.) shall be relayed at the time of transfer. In rare cases, in the event of an emergency transfer, if the hard copy Master Record is not forwarded simultaneously, the record shall be forwarded within 24 hours to the receiving facility.

The JETS database record shall also be updated with all relevant information prior to any youth transfer to another secure care facility. If documentation is not up-to-date upon transfer, contact must be made by the sending facility's Social Services Supervisor to the receiving facility's Social Services Supervisor to communicate all documentation not entered in the JETS database. All documentation must then be entered by the sending facility within 48 hours of the transfer.

- E. Each facility shall control access to hard copy Master Records and JETS database records of all youth currently and previously in YS custody, with respect for the right to privacy, secure placement, preservation of records, and safeguards from unauthorized and improper disclosure. Confidentiality is to be ensured. Each facility shall develop procedures necessary to ensure that only those with legitimate business and a lawful right to the information shall have access to the records in accordance with this policy and YS Policy No. B.3.2.
- F. Entries in both the hard copy Master Record and the JETS database records, as specified herein, are to be dated and signed by the person making the entry. The employee signing the record shall indicate their professional affiliation, i.e., M.D., R.N., SW, CPM, SSC, etc.
- G. The hard copy Master Record shall be an 8-part letter-sized folder.
- H. No information shall be stapled or written on the outside of the record except that which is contained in an area stamped on the front left side of the record [see Attachment B.3.1 (a) "Stamp Format", which includes a description of information required. No other information, dots, codes, etc. may be placed on the outside of the record without approval of the Deputy Secretary.

VII. PROCEDURES FOR YOUTH MEDICAL RECORDS:

- A. All youth shall have an electronic health record that is kept up to date at all times, and one that complies with problem-oriented health record format and ACA Standards. The record must be accessible or accompany the youth at all health encounters and shall be accessible or forwarded to the appropriate facility in the event the youth is transferred.
- B. The confidentiality requirements as provided in law shall be followed.
- C. Health records, at a minimum, shall contain the following information:
 - 1) Patient identification on each sheet;
 - 2) Completed receiving screening form;
 - 3) Health appraisal data and examination forms;
 - 4) Record of immunization;
 - 5) All findings, diagnoses, treatments, dispositions;
 - 6) Individualized treatment plans, when applicable;
 - 7) Progress reports;
 - 8) Place, date and time of encounter;
 - 9) Record of prescribed medications and their administration, if applicable;
 - 10) Laboratory, X-ray and diagnostic studies/reports;

- 11) Consent and refusal forms;
 - 12) Release of information forms;
 - 13) Discharge summary of hospitalizations and any other termination summaries; Health service reports, e.g. emergency room, dental, psychiatric, telemedicine or any other consultants;
 - 14) Transfer forms;
 - 15) Records and written reports concerning injuries sustained prior to admission;
 - 16) Place, date, and time of health encounters;
 - 17) Notes concerning youth's health education;
 - 18) All other relevant and medically related materials; and
 - 19) Signature and title of documenter.
- D. All health care records are the property of YS and shall remain with YS upon termination of the contracts.
- E. All nonproprietary records kept by CHP shall be made available to YS for lawsuits, monitoring or evaluation of the contract, and other statutory responsibilities of YS and/or other state agencies, and shall be provided at the cost of CHP when requested by YS during the term of the contracts.
- F. YS may accept transfer of records to its custody when it determines that the records possess long-term retention value.
- G. Upon termination of the CHP contracts, the provider shall ensure the prompt transfer of all electronic health care information necessary for the smooth transition of medical services between the CHP and a subsequent health care provider.
- H. The electronic records relevant to medical/mental health care provided by the CHP to youth in YS custody shall be maintained on all youth until age 25. Refer to Section X. of this policy for additional information concerning record retention.

VIII. PROCEDURES FOR YOUTH SCHOOL RECORDS:

Hard copy school records of secure care youth are retained by the school within the facility the youth exited from for a minimum of five (5) years. These records shall be forwarded to educational authorities upon request.

IX. FORMAT FOR YOUTH MASTER RECORDS:

- A. The following filing format shall be used in the hard copy Master Records. Documents shall be filed in chronological order, with the most recent document on top, and in the order indicated below for each clip.

Clip I: Intake

- 1) JETS Master Form (printed from JETS)
- 2) Sentence Computation
- 3) Signed Release of Information
- 4) Admission Summary
- 5) Contracted Health Care Provider Clinical Screening
- 6) Security Housing Report
- 7) Assessment Summaries
- 8) Other Intake/Assessment Materials/Mental Health Reports from outside agencies
- 9) Evaluations / Progress Reports from prior residential placements received from CBS upon a youth's admission to secure care.

Clip II: Case Management

- 1) Youth Notification of Initial/Reclassification Staffing
- 2) Pre-treatment Assessment Form (JUMP)
- 3) Seven Day Review Form (Winter/Victory Transitional Unit)
- 4) Accommodations Form
- 5) Unified Behavior Plan (UBP) (with all participant's handwritten signatures)
- 6) Behavior Analysis Form (generated by contracted MHTP)
- 7) Monthly Assessments of RSP (with youth's handwritten signature)
- 8) Initial RSP Summary of Staffing Form (signature page with handwritten signatures of all participants)
- 9) RSP Summary of Staffing Form (signature page with handwritten signatures of all participants)
- 10) Weekly Contact Progress Note documenting the Supervisor and Case Manager bi-monthly review of MR youth progress (this is the only weekly contact progress note that needs to be filed and must have supervisor's handwritten signature)
- 11) Phase Advancement Form (JUMP)
- 12) Consideration for Recommendation of Modification of Disposition Form (CRM) (signature page filed with all applicable signatures)
- 13) Monthly Status Reports, where applicable, to include status reports to the courts
- 14) Specialized Services Referrals
- 15) Admission Review Form (Winter/Victory Transitional Unit)
- 16) Reintegration/Service Plan (signature page only with handwritten signatures)
- 17) Extension/Removal Request (FAST TRACK)
- 18) Substance Abuse Assessment Form
- 19) Program Orientation
- 20) LAMOD Team Meeting Stage Consideration Worksheet (with Facility Director's decision noted)
- 21) LAMOD Youth Stage Petition Form (w/reasons noted)

Clip III: Mental Health

The following information is located in the youth's ERMA record. Consultation with CCS staff is necessary in order to view any documents listed below that are not currently part of the Master Record.

- 1) Psychiatric Assessment(s)
- 2) Psychiatric Program Notes
- 3) Psychological Evaluation(s)
- 4) Specialized Services Referral with Response
- 5) Referrals/Group Testing Checklist
- 6) Authorization for Suicide Watch
- 7) Mental Retardation Assessments (SSSQ)
- 8) Mental Health Form (i.e., suicide log, contract, mental status assessment, etc.)
- 9) Monthly Health Care Provider Mental Health Staffing Reports
- 10) Quarterly Health Care Provider Mental Health Staffing Reports
- 11) Monthly Assessment Summaries

Clip IV: Medical

The following information is located in the youth's hard copy Master Record:

- 1) Louisiana Medicaid General Application form confirmation from DHH indicating that a Medicaid application was filed on the youth's behalf.

The following information is located in the youth's ERMA record. Consultation with CCS staff is necessary in order to view any documents listed below that are not currently part of the Master Record.

- 1) Accident and Incident (A&I) Reports
- 2) Medical History and Physical Exam
- 3) Nurse and CHP's Notes
- 4) Addendums (Local Hospital Emergency Room Forms)
- 5) Immunization Record and Medication Information
- 6) Request for Drug/Alcohol Test
- 7) Laboratory Testing and Results
- 8) PPD Assessment
- 9) Treatment Plans
- 10) Dental Exam and Treatment
- 11) How to Obtain Medical Care form

Clip V: Education

- 1) Initial Education Assessment(s) (TABE Scores, vocational inventory, and other academic, vocational, college, work detail, if applicable, information/documents)
- 2) Education Assessments (TABE) every 6 months

- 3) Individual Evaluation (if identified as eligible for Special Ed Services)
- 4) Current IEP (if identified as eligible for Special Ed Services)
- 5) Mental Retardation Assessments
- 6) Quarterly Education Staffing Reports

Clip VI: Disciplinary/Crisis Intervention Unit (CIU)/Risks

- 1) Youth Code of Conduct Violation Reports
- 2) Unusual Occurrence Reports (UORs)
- 3) Offense Behavior Worksheet (JUMP)
- 4) Infraction Notice (JUMP)
- 5) Youth Conduct Summary Form (Housing Unit Reports)
- 6) Due Process Paperwork (Intra-facility transfers) to include Transfer Request Form and Youth's Notice of Transfer (with Director's/designee's handwritten signatures)
- 7) Removal from Programming
- 8) Summary/Conclusion page only of Substantiated Allegation of Abuse
- 9) Letters returned as undeliverable
- 10) Precaution Sheet (with supervisor's handwritten signature)
- 11) Youth at Risk Staff Alert Form (custody, staff alerts, PREA alerts, Gang Affiliation, SMI Information/Notification - Contracted health care provider, etc.)
- 12) Request for Protective Custody
- 13) Crisis Intervention Unit Placement and Release Report
- 14) Youth Receipt of the Youth Code of Conduct Manual
- 15) Appeals / ARPs
- 16) Monthly JJS Staffing Reports
- 17) Quarterly JJS Staffing Reports

Clip VII: Furlough/Telephone/Visitors List

- 1) Requests (to include Marriage)
- 2) Denials/Approvals
- 3) Contracts/Agreements
- 4) Furlough History and Results
- 5) Approved Telephone List
- 6) Visitor's List
- 7) Request for Special Visit Form (with Director's/designee's handwritten signature)
- 8) Escorted Absence Request Form (with Director's/designee's signature)

Clip VIII: Court/Chronology/Documents

- 1) Chronological History Sheet
- 2) Release Certificate (with Director's handwritten signature)
- 3) PREA Youth Confirmation of Receipt
- 4) Mail Consent Form
- 5) Telephone Monitoring Form

- 6) Correspondence
 - a. Progress Report and Assessment Summary Cover Letters (with Director's handwritten signature)
 - b. Substantiated Allegation of Abuse Letter to Parents
 - c. Direct Admission Letter to Judge and Parent (with Director's handwritten signature)
 - d. Judge/Parent/Youth Notification of Transfer Letters (with Director's handwritten signature)
 - e. Youth/Parental Notification of Initial / Reclassification Staffing (with Director's/designee's handwritten signature)
 - f. Due Process Hearing Letter (with Director's/designee's handwritten signature)
 - g. Notification of Injury Letter to adjudicating judge & CBS
- 7) Youth Notice of Transfer Form (with approval/denial noted)
- 8) Consent for Release of Initial Information to Attorney
- 9) Statement of Representation and Release of Records
- 10) Parent/Guardian Consent to Release of Youth Records
- 11) Sex Offender statutory requirements and registration notification (with youth's signature)
- 12) Sex Offender Registration and Acknowledgment Form
- 13) Parental Retraction of Consent (with youth and parent's handwritten signatures)
- 14) 45 Day Release Notice to Judge (with Director's handwritten signature)
- 15) Court Proceeding Summary
- 16) Detainers
- 17) NCIC Notifications and Cancellations
- 18) Victim Notification Letter
- 19) Personal Property Inventory Sheet
- 20) Youth/Parent/Guardian Visitation Procedures Documentation
- 21) Copy of Birth Certificate/Birth Verification
- 22) Social Security Card
- 23) Court Documents
- 24) Petitions
- 25) Orientation Form
- 26) Receipt of Regional Office Documentation Form (with signatures)
- 27) Fingerprint Card/Photograph

B. The following forms shall be completed in the JETS database by the youth's secure care Case Manager, and maintained at all times:

- 1) Brief Youth Interview Form
- 2) Court Proceeding Summary (hard copy filed in Clip VIII)
- 3) Consideration for Recommendation of Modification (CRM)
- 4) Initial / Reclassification Custody Scales (hard copy filed in Clip II if an override was completed requiring Director/designee handwritten signature)
- 5) Initial RSP
- 6) Quarterly RSP

- 7) RSP Summary of Staffing Form (hard copy filed in Clip II with youth and multidisciplinary team member's handwritten signatures)
- 8) LAMOD Weekly Group Assessment Form
- 9) Monthly Assessment of RSP (hard copy filed in Clip II with youth's handwritten signature)
- 10) Progress Report and cover letter (hard copy of cover letter only, with Director's handwritten signature, filed in Clip VIII)
- 11) Reintegration/Service Plan (hard copy of Director's/designee's handwritten signature page only, filed in Clip II)
- 12) SAVRY Assessment / Reassessment
- 13) Staff Alert and Precaution Sheet form (hard copy filed in Clip VI, with a cc to those indicated)
- 14) Visitation – Family Contact Progress Note
- 15) Weekly Contact Progress Notes (only notes that document supervisor and Case Manager bi-monthly review of MR youth progress need to have a hard copy filed in Clip II)
- 16) Unified Behavior Plan (hard copy must be filed in Clip II with all participant's handwritten signatures)
- 17) Youth Notice of Transfer Form
- 18) Direct Admission Letter to Judge and Parent (hard copy filed in Clip VIII with Director's handwritten signature)
- 19) Judge, Parent, and Youth's Notification of Transfer (hard copy filed in Clip VIII with Director's handwritten signature)
- 20) Parental Notification of Initial/Reclassification Staffing (hard copy filed in Clip VIII with Director's/designee's handwritten signature)
- 21) Precaution Sheet (hard copy filed in Clip VI with supervisor's handwritten signature)
- 22) Release Certificate (hard copy filed in Clip VIII with Director's handwritten signature)
- 23) Request for Special Visit (hard copy filed in Clip VII with Director's/designee's handwritten signature)

X. SUBMISSION, RETENTION, AND PURGING OF INACTIVE RECORDS TO JCY FOR ARCHIVES:

- A. The guidelines below shall be followed for the submission of Master Records to JCY Archives. The following two documents must accompany the records in order for them to be accepted upon receipt:
 1. The Youth Master Record Archives Transfer List form [see Attachment B.3.1 (b)] must be completed in its entirety for all records forwarded. Upon completion, the form shall be signed by both JCY and the sending facility staff. A copy of the form shall be provided to the sending facility, with JCY maintaining the original for their records.
 2. The Youth Master Record Archive Box Storage form [see Attachment B.3.1(c)] must list each record contained in the accompanying box, and must be taped to the top of the box for archive purposes.

- B. Records submitted that do not meet these requirements shall be returned to the sending facility for resubmission following the guidelines above.
- C. Hard copies of Master Records shall be retained intact at JCY Archives until the youth has reached age twenty-five (25). After that time the records shall be purged, as funds and manpower are available, of all but the face sheet/JETS Master Form, youth's Assessment Summary, facility exit report, and court documents.
- D. The CHP shall maintain all electronic medical records since the start of the contracts, and shall arrange for transfer of all records with the YS' Information Technology Director in the event a new provider is selected.

Previous Regulation/Policy Number: B.3.1

Previous Effective Date: 02/14/2011



Attachments/References: B.3.1 (a) Stamp Format 2-11.docx



B 3 1 (b) Youth Master Record Archive Transfer List 5-12.docx



B 3 1 (c) Youth Master Record Archive Box Storage Form 2-11.docx



B.3.1 (d) Receipt of CBS Documentation 2-11.docx